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PTO/SB/05 (4/98)

09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No. 99-2127  
 First Inventor or Application Identifier H. R. ALLCOCK  
 Title PROTON CONDUCTING POLYMER MEMBRANES  
 Express Mail Label No. EL552881785US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

## ADDRESS TO

Assistant Commissioner for Patents  
 Box Patent Application  
 Washington DC 20231

1. ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
 (Submit an original and a duplicate for fee processing)

2. ☒ Specification [Total Pages 15]  
 (preferred arrangement set forth below)

- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]

Oath or Declaration [Total Sheets 2]

## UNEXECUTED

- a. ☐ Newly executed (original copy)
- b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
 (for continuation/divisional with Box 16 completed)
- i. ☐ DELETION OF INVENTOR(S)  
 Signed statement attached deleting  
 inventor(s) named in the prior application,  
 see 37 C.F.R. §§1.63(d)(2) and 1.33(b)

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence submission  
 (if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. §3.73(b) Statement  
 (when there is an assignee) ☐ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure  
 Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
 (Should be specifically itemized)
13. ☒ \* Small Entity  
 Statement(s) ☐ Statement filed in prior application,  
 (PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
 (if foreign priority is claimed)
15. ☐ Other:

NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A  
 SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. §1.27). EXCEPT IF ONE FILED IN A  
 PRIOR APPLICATION IS RELIED UPON (37 C.F.R. §1.28)

If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below in a preliminary amendment

☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior application No.: Claiming priority to  
 Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: 60/138,710 filed 06/11/99

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied  
 under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by  
 reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

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 (Insert Customer No. or Attach Bar code label here)

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Signature				Date:	06/09/00

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Practitioner's Docket No.: 99-2127

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: H. R. ALLCOCK, et al.

Serial No.:

Group No.:

Filed: June 09, 2000

Examiner:

For: PROTON CONDUCTING POLYMER MEMBRANES

Assistant Commissioner for Patents  
Washington D.C. 20231

**EXPRESS MAIL CERTIFICATE**

"Express Mail" label number: EL552881785US

Date of Deposit: June 09, 2000

I hereby state that the following *attached* paper or fee:

- 1 Fee Transmittal Form (in duplicate)
- 1 Utility Patent Application
- 1 Small Entity Statement
- 1 Unexecuted Declaration
- 15 pages of Specifications
- 6 sheets of Drawings
- 1 Return Receipt Postcard

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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(Express Mail Certificate [8-3])

**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Docket Number (Optional)  
99-2127

Applicant, Patentee, or Identifier: H. R. ALLCOCK, et al.

Application or Patent No.: \_\_\_\_\_

Filed or Issued: June 09, 2000

Title: PROTON CONDUCTING POLYMER MEMBRANES

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION The Penn State Research Foundation

ADDRESS OF NONPROFIT ORGANIZATION 304 Old Main

University Park, PA 16802

**TYPE OF NONPROFIT ORGANIZATION:**

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
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STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☒ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Thomas J. Monahan (Reg. No. 29,835)

TITLE IN ORGANIZATION OF PERSON SIGNING Director, Intellectual Property Office

ADDRESS OF PERSON SIGNING 113 Technology Center, University Park, PA 16802-7000

SIGNATURE [Signature] DATE June 09, 2000